



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/717,524	11/21/2000	Donna Skibbie	AUS920000076US1	1837

7590

04/27/2004

Jeffrey S. LaBaw
IBM Corporation
Intellectual Property Law
11400 Burnet Rd.
Austin, TX 78758

EXAMINER

BAUM, RONALD

ART UNIT

PAPER NUMBER

2136

DATE MAILED: 04/27/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/717,524

Applicant(s)

SKIBBIE ET AL.

Examiner

Ronald Baum

Art Unit

2136

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on ____.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☐ Claim(s) ____ is/are pending in the application.
- 4a) Of the above claim(s) ____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) ____ is/are allowed.
- 6) ☒ Claim(s) 1-25 is/are rejected.
- 7) ☐ Claim(s) ____ is/are objected to.
- 8) ☐ Claim(s) ____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. ____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date ____.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date ____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: ____.

DETAILED ACTION

1. Claims 1- 25 are pending for examination.
2. Claims 1- 25 are rejected.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claims 1-25 are rejected under 35 U.S.C. 102(b) as being anticipated by Devine et al, U.S. Patent 6,598,167 B2.
4. As per claim 1; “A method for executing a signed applet packaged in a given file [col. 2,lines 55-col. 3,line 8, col. 5,lines 57-col. 6,line 3], comprising: upon loading a class, determining whether a signature in the given file type applies to the class [col. 6,lines 13-33,39-62, col. 14,lines 53-col. 16,line 33, figure 7 and accompanying description]; if so, executing a verification procedure to verify the signature and the identity of a signer that generated the signature [col. 8,lines 31-60, col. 12,lines 16-col. 14,line 39]; following a successful verification, determining whether the signer is identified in a policy entry [col. 16,lines 47-56]; and if the signer is identified in the policy entry, populating a permission set for the class [col. 16,lines 47-col. 17,line 8].”;

Further, as per claim 11; “A method for executing a signed applet packaged in a given file [col. 2,lines 55-col. 3,line 8, col. 5,lines 57-col. 6,line 3], comprising: upon loading each

Art Unit: 2136

class, determining whether any signatures in the given file applies to the class [col. 6, lines 13-33, 39-62, col. 14, lines 53-col. 16, line 33, figure 7 and accompanying description]; if so, executing a verification procedure to verify the signature and the identity of a signer that generated the signature [col. 8, lines 31-60, col. 12, lines 16-col. 14, line 39]; following a successful verification, determining whether the signer is identified in a policy entry [col. 16, lines 47-56]; if the signer is identified in the policy entry, awarding the class a permission as identified in the policy entry; and responsive to a request that requires a permission, using the permission set for the class to determine whether the class has the permission [col. 16, lines 47-col. 17, line 8].”;

Further, as per claim 17; “A computer program product [This claim is software embodied on a computer readable memory claim for the method claim 1 above, and is rejected for the same reasons provided for the claim 1 rejection] including computer usable code for use in a Java runtime environment (JRE), comprising: an applet class loader for loading a set of applet classes archived in a signed file; a set of signature engine classes for verifying applet class signatures; and a security manager class callable by the applet class loader upon receipt of an initial request that requires a given permission and, in response thereto invoking a policy file class that verifies a signer based on the existence of a matching certificate in a set of keystores.”;

Further, as per claim 22; “A system [This claim is apparatus (system) claim for the method claim 1 above, and is rejected for the same reasons provided for the claim 1 rejection], comprising: a browser; a Java runtime environment; a set of keystores; an applet class loader for loading a set of applet classes archived in a signed file; a set of signature engine classes for verifying applet class signatures; and a security manager class callable by the applet class loader

Art Unit: 2136

upon receipt of an initial request that requires a given permission and, in response thereto, invoking a policy file class that verifies a signer based on the existence of a matching certificate in the set of keystores.”.

5. Claim 2 ***additionally recites*** the limitation that; “[The method as described in Claim 1] wherein the signature is verified using a given algorithm used to sign the applet.”. The teachings of Devine et al suggest such limitations (col. 12, lines 9-54, figure 7, 10-12 and accompanying description);

Further, as per claim 23 ***additionally reciting*** the limitation that; “[The system (This claim is apparatus (system) claim for the method claim 2 above, and is rejected for the same reasons provided for the claim 2 rejection) as described in Claim 22] wherein at least one signature engine verifies signatures using a given algorithm used to sign the applet.”.

6. Claim 3 ***additionally recites*** the limitation that; “[The method as described in Claim 2] wherein the given algorithm is selected from the set of algorithms consisting of DSA/SHA1, RSA/MD5 and RSA/SHA1.”. The teachings of Devine et al suggest such limitations (col. 11, lines 63-col. 12, line 16, col. 20, lines 49-col. 21, line 16, col. 22, lines 20-45, col. 23, lines 50-col. 24, line 19, whereas the use of HTTPS being the combination of HTTP+SSL, such that SSL is defined to use MD5, SHA-1, HMAC, etc., for the digital signature and digest functions);

Further, as per claim 18 ***additionally reciting*** the limitation that; “[The computer program product (This claim is software embodied on a computer readable memory claim for the method claim 3 above, and is rejected for the same reasons provided for the claim 3 rejection) as

Art Unit: 2136

described in Claim 17] wherein the set of signature engine classes includes a DSA/SHA1 class, an RSA/MD5 class, and a RSA/SHA1 class.”.

7. Claim 4 ***additionally recites*** the limitation that; “[The method as described in Claim 1] wherein the step of populating the permission set for the class awards the class a permission as specified in the policy entry.”. The teachings of Devine et al suggest such limitations (col. 16,lines 47-col. 17,line 8);

Further, as per claim 24 ***additionally reciting*** the limitation that; “[The system (This claim is apparatus (system) claim for the method claim 4 above, and is rejected for the same reasons provided for the claim 4 rejection) as described in Claim 22] further comprising means for populating a permission set for the class, wherein the class is awarded a permission as specified in a policy entry in a database managed by the security manager class.”.

8. Claim 5 ***additionally recites*** the limitation that; “[The method as described in Claim 1] further including the steps of: determining whether the applet has made a request that requires permission; and if so, using the permission set of the class to determine whether the class has the permission.”. The teachings of Devine et al suggest such limitations (col. 16,lines 47-col. 17,line 8, col. 18,lines 13-col. 19,line 51, col. 27,lines 44-col. 28,line 23, col. 28,line 62-col. 29,line 12,).

9. Claim 6 ***additionally recites*** the limitation that; “[The method as described in Claim 5] further including the step of: responding to the request if the class has the permission.”. The

Art Unit: 2136

teachings of Devine et al suggest such limitations (col. 16,lines 47-col. 17,line 8, col. 18,lines 13-col. 19,line 51, col. 27,lines 44-col. 28,line 23, col. 28,line 62-col. 29,line 12,);

Further, as per claim 12 *additionally reciting* the limitation that; “[The method as described in Claim 11] further including the step of responding to the request if the class has the permission.”. The teachings of Devine et al suggest such limitations (col. 16,lines 47-col. 17,line 8, col. 18,lines 13-col. 19,line 51, col. 27,lines 44-col. 28,line 23, col. 28,line 62-col. 29,line 12,).

10. Claim 7 *additionally recites* the limitation that; “[The method as described in Claim 1] wherein the step of verifying the identity of the signer verifies that the signer is in a default certificate database and that a certificate of the signer has not expired.”. The teachings of Devine et al suggest such limitations (col. 6,lines col. 8,lines 31-60, col. 12,lines 16-col. 14,line 39, col. 16,lines 47-col. 17,line 8, col. 18,lines 13-col. 19,line 51, col. 27,lines 44-col. 28,line 23, col. 28,line 62-col. 29,line 12, col. 29,lines 50-col. 30,line 13);

Further, as per claim 13 *additionally reciting* the limitation that; “[The method as described in Claim 11] wherein the step of verifying the identity of the signer verifies that the signer is in a default certificate database and that a certificate of the signer has not expired.”. The teachings of Devine et al suggest such limitations (col. 16,lines 47-col. 17,line 8, col. 18,lines 13-col. 19,line 51, col. 27,lines 44-col. 28,line 23, col. 28,line 62-col. 29,line 12, col. 29,lines 50-col. 30,line 13).

11. Claim 8 *additionally recites* the limitation that; “[The method as described in Claim 1] wherein the step of verifying the identity of the signer verifies that the signer contains a

Art Unit: 2136

certificate chain to a trusted certificate authority, that each certificate in the certificate chain contains a signature that can be verified by a given key, and that each certificate in the certification chain has not expired.” The teachings of Devine et al suggest such limitations (col. 6,lines col. 8,lines 31-60, col. 12,lines 9-col. 14,line 39, col. 16,lines 47-col. 17,line 8, col. 18,lines 13-col. 19,line 51, col. 27,lines 44-col. 28,line 23, col. 28,line 62-col. 29,line 12, col. 29,lines 50-col. 30,line 13);

Further, as per claim 14 *additionally reciting* the limitation that; “[The method as described in Claim 11] wherein the step of verifying the identity of the signer verifies that the signer contains a certificate chain to a trusted certificate authority, that each certificate in the certificate chain contains a signature that can be verified by a given key, and that each certificate in the certification chain has not expired.” The teachings of Devine et al suggest such limitations (col. 6,lines col. 8,lines 31-60, col. 12,lines 9-col. 14,line 39, col. 16,lines 47-col. 17,line 8, col. 18,lines 13-col. 19,line 51, col. 27,lines 44-col. 28,line 23, col. 28,line 62-col. 29,line 12, col. 29,lines 50-col. 30,line 13).

12. Claim 9 *additionally recites* the limitation that; “[The method as described in Claim 1] wherein the given file is selected from the set of file types consisting of a first signed jar file, a second signed jar file, and a signed cab file.” The teachings of Devine et al suggest such limitations (col. 6,lines 13-33,39-62, col. 14,lines 53-col. 16,line 33, figure 7 and accompanying description);

Further, as per claim 15 *additionally reciting* the limitation that; “[The method as described in Claim 11] wherein the given file is selected from the set of file types consisting of a

Art Unit: 2136

first signed jar file, a second signed jar file, and a signed cab file.”. The teachings of Devine et al suggest such limitations (col. 6, lines 13-33, 39-62, col. 14, lines 53-col. 16, line 33, figure 7 and accompanying description);

Further, as per claim 20 *additionally reciting* the limitation that; “[The computer program product (This claim is software embodied on a computer readable memory claim for the method claim 9 above, and is rejected for the same reasons provided for the claim 9 rejection) as described in Claim 17] wherein the applet classes are archived in a jar file.”;

Further, as per claim 21 *additionally reciting* the limitation that; “[The computer program product (This claim is software embodied on a computer readable memory claim for the method claim 9 above, and is rejected for the same reasons provided for the claim 9 rejection) as described in Claim 17] wherein the applet classes are archived in a cab file.”;

Further, as per claim 25 *additionally reciting* the limitation that; “[The system (This claim is apparatus (system) claim for the method claim 9 above, and is rejected for the same reasons provided for the claim 9 rejection) as described in Claim 22] wherein the signed file is selected from the set of file types consisting of a first signed jar file, a second signed jar file, and a signed cab file.”.

13. Claim 10 *additionally recites* the limitation that; “[The method as described in Claim 1] wherein the signed applet is executable in a given one of a set of different browser types.”. The teachings of Devine et al suggest such limitations (col. 6, lines 13-33, 39-62, col. 14, lines 53-col. 16, line 33, figure 7 and accompanying description);

Art Unit: 2136

Further, as per claim 16 *additionally reciting* the limitation that; “[The method as described in Claim 11] wherein the signed applet is executable in a given one of a set of different browser types.”. The teachings of Devine et al suggest such limitations (col. 6, lines 13-33, 39-62, col. 14, lines 53-col. 16, line 33, figure 7 and accompanying description).

14. Claim 19 *additionally recites* the limitation that; “[The computer program product as described Claim 17] wherein the applet class loader is invoked by a Java Plug-in of the Java runtime environment.”. The teachings of Devine et al suggest such limitations (col. 6, lines 13-33, 39-62, col. 14, lines 53-col. 16, line 33, figure 7 and accompanying description).

Conclusion

15. Any inquiry concerning this communication or earlier communications from examiner should be directed to Ronald Baum, whose telephone number is (703) 305-4276. The examiner can normally be reached Monday through Friday from 8:00 AM to 5:30 PM.

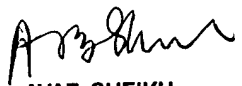
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh, can be reached at (703) 305-9648. The Fax numbers for the organization where this application is assigned are:

After-final (703) 746-7238

Official (703) 746-7239

Non-Official/Draft (703) 746-7246

Ronald Baum


AYAZ SHEIKH
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100